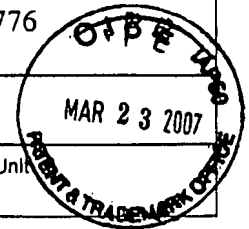


Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17315-002001	Application No. 10/635,776
List of Patents and Publications for Applicant's Information Disclosure Statement  (37 CFR §1.98(b))		Applicant St. Goar et al.	Group Art Unit 3738
		Filing Date August 5, 2003	



U.S. Patent Documents							
Examiner Initial	Desig ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
UB	AA	2002/0087148	07/04/02	Brock et al.			
	AB	2002/0087169	07/04/02	Brock et al.			
	AC	2003/0120341	06/26/03	Shennib et al.			
	AD	2005/0149014	07/07/05	Hauck et al.			
	AE	2006/0020275	1/26/06	Goldfarb et al.			
	AF	2007/0038293	2/15/07	St. Goar et al.			
	AG	5,618,306	04/08/97	Roth et al.			
	AH	5,634,932	06/03/97	Schmidt			
	AI	5,640,955	06/24/97	Ockuly et al.			
	AJ	5,713,910	02/03/98	Gordon et al.			
	AK	5,716,367	02/10/98	Koike et al.			
	AL	5,718,725	02/17/98	Sterman et al.			
	AM	5,769,812	06/23/98	Stevens et al.			
	AN	5,797,927	08/25/98	Yoon			
	AO	5,797,960	08/25/98	Stevens et al.			
	AP	5,810,847	09/22/98	Laufer et al.			
	AQ	5,823,956	10/20/98	Roth et al.			
	AR	5,824,065	10/20/98	Gross			
	AS	5,827,237	10/27/88	Macoviak et al.			
	AT	5,829,447	11/03/98	Stevens et al.			
	AU	5,833,671	11/10/98	Macoviak et al.			
	AV	5,836,955	11/17/98	Buelna et al.			
	AW	5,840,081	11/24/98	Anderson et al.			
	AX	5,855,614	01/05/99	Stevens et al.			
	AY	5,879,307	03/09/99	Chio et al.			
	AZ	5,885,271	03/23/99	Hamilton et al.			
	BA	5,928,224	07/27/99	Laufer			

Examiner Signature

LMB 8-13-07

Date Considered

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 17315-002001		Application No. 10/635,776	
List of Patents and Publications for Applicant's Information Disclosure Statement  (37 CFR §1.98(b))				Applicant St. Goar et al.			
				Filing Date August 5, 2003		Group Art Unit 3738	
U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publicati on Date	Patentee	Class	Subclass	Filing Date If Appropriate
UB	BB	5,947,363	09/07/99	Bolduc et al.			
	BC	5,954,732	09/21/99	Hart et al.			
	BD	5,980,455	11/09/99	Daniel et al.			
	BE	5,989,284	11/23/99	Laufer			
	BF	6,019,722	02/01/00	Spence et al.			
	BG	6,117,144	09/12/00	Nobles et al.			
	BH	6,165,183	11/26/00	Kuehn et al.			
	BI	6,210,432	04/03/01	Solem et al.			
	BJ	6,269,819	08/07/01	Oz et al.			
	BK	6,306,133	10/23/01	Tu et al.			
	BL	6,312,447	11/06/01	Grimes			
	BM	6,355,030	03/12/02	Aldrich et al.			

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
UB	BN	06/116558	11/2/06	PCT				
	BO	06/086434	8/17/06	PCT				
	BP	81/00668	03/19/81	PCT				
	BQ	1598111	09/16/81	UK				
	BR	2151142	07/17/85	UK				

Other Documents (Include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
UB	BS	Abe, T., et al., "De Vega's annuloplasty for acquired tricuspid disease: Early and late results in 110 patients," Annals of Thoracic Surgery, 48:670-676, (1989).
I	BT	Abe, T., et al., "Updated: De Vega's annuloplasty for acquired tricuspid disease: Early and late results in 110 patients," Annals of Thoracic Surgery, 62:1876-1877, (1996).
T	BU	Alvarez, J.M., et al., "Repairing the degenerative mitral valve: ten-to-fifteen-year follow-up," Journal of Thoracic and Cardiovascular Surgery, 112:238-247, (1996).

Examiner Signature <i>UB</i>	Date Considered
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP §609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17315-002001	Application No. 10/635,776
List of Patents and Publications for Applicant's Information Disclosure Statement  (37 CFR §1.98(b))			Applicant St. Goar et al.	
			Filing Date August 5, 2003	Group Art Unit 3738
Other Documents (include Author, Title, Date, and Place of Publication)				
Examiner Initial	Desig. ID	Document		
LB	BV	Bach, D.S. and S.F. Bolling, "Early improvement in congestive heart failure after correction of secondary mitral regurgitation in end-stage cardiomyopathy," American Heart Journal, 129:1165-1170, (1995).		
	BW	Bach, D.S. and S.F. Bolling, "Improvement following correction of secondary mitral regurgitation in end-stage cardiomyopathy with mitral annuloplasty," American Journal of Cardiology, 78:966-969, (1996).		
	BX	Bailey, C.P., et al., <i>Surgery of the Heart</i> , Lea & Febiger, Philadelphia, P.A., 686-737, (1955).		
	BY	Bolling, S.F., et al., "Surgery for acquired heart disease," Journal of Thoracic and Cardiovascular Surgery, 109(4):676-683, (1995).		
	BZ	Dec, G.W. and V.F. Fuster, et al., "Idiopathic dilated cardiomyopathy," New England Journal of Medicine, 331:1564-1575, (1994).		
	CA	Fucci, C., et al., "Improved results with mitral valve repair using new surgical techniques," European Journal of Cardiothoracic Surgery, 9:621-627 (Medline enclosed herewith), (1995).		
	CB	Kameda, Y., et al., "Annuloplasty for severe mitral regurgitation due to dilated cardiomyopathy," Annals of Thoracic Surgery, 61:1829-1832, (1996).		
	CC	Khan, M.A., et al., "Blade atrial septostomy: experience with the first 50 procedures," Catheterization and Cardiovascular Diagnosis, 23:257-262, (1991).		
	CD	Maisano, F., et al., "The edge-to-edge technique: a simplified method to correct mitral insufficiency," European Journal of Cardio-thoracic Surgery, 13:240-246, (1998).		
	CE	McCarthy, J.F. and D.M. Cosgrove, "Tricuspid valve repair with the Cosgrove-Edwards annuloplasty system," Annals of Thoracic Surgery, 64(1):267-268, (1997).		
	CF	Park, S.C., et al., "Clinical use of a blade atrial septostomy," Circulation, 58:600-608, (1978).		
	CG	Reul, R.M. and L. H. Cohn II, "Mitral valve reconstruction for mitral insufficiency," Progress in Cardiovascular Diseases, 39(6):567-599, (1997).		
	CH	Ricchi, A., et al., "Linear segmental annuloplasty for mitral valve repair," Annals of Thoracic Surgery, 63:1805-1806, (1997).		
	CI	Tager, R., et al., "Long-term follow-up of Rheumatic patients undergoing left-sided valve replacement with tricuspid annuloplasty-Validity of preoperative echocardiographic criteria in the decision to perform tricuspid annuloplasty," American Journal of Cardiology, 81:1013-1016, (1998).		
	CJ	Uchida, Y., et al., "Percutaneous cardiomyotomy and valvulotomy with guidance," American Heart Journal, 121:1221-1224, (1991).		
	CK	Umana, J., et al., "Bow-tie mitral valve repair successfully addresses subvalvular dysfunction in ischemic mitral regurgitation," Surgical Forum, 279-280, (1997).		
	CL	Umana, J.P., et al., "Bow-tie mitral valve repair: an adjuvant technique for ischemic regurgitation," Annals of Thoracic Surgery, 66:1640-1646, (1998).		

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8-13-07

Examiner Signature	Date Considered
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP §109; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute for form 1449A/PTO

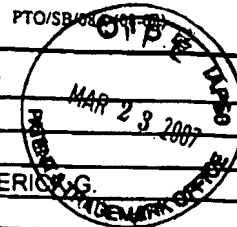
**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 5

Complete If Known

Application Number 10/635,776  
 Filing Date August 5, 2003  
 First Named Inventor ST. GOAR, FREDERICK G.  
 Art Unit Unassigned  
 Examiner Name Unassigned  
 Attorney Docket Number 020489-000140US

**U.S. PATENT DOCUMENTS+**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
✓	AA	US-2,108,206	02/1938	Meeker	
	AB	US-3,378,010	04/1989	Codling et al.	
	AC	US-3,671,979	06/1972	Moulopioulos	
	AD	US-3,874,338	04/1975	King et al.	
	AE	US-4,056,854	11/1977	Boratos et al.	
	AF	US-4,297,749	11/1981	Davis et al.	
	AG	US-4,484,579	11/1984	Meno et al.	
	AH	US-4,641,366 B1	10/2002	Segun	
	AI	US-4,809,895	03/1989	Gwathmey et al.	
	AJ	US-4,917,069	04/1990	Siders	
	AK	US-4,994,077	02/1991	Dobbin	
	AL	US-5,042,707	08/1991	Taheri	
	AM	US-5,049,153	09/1991	Nakao et al.	
	AN	US-5,069,679	12/1991	Taheri	
	AO	US-5,171,252	12/1992	Friedland	
	AP	US-5,209,756	05/1993	Seedhorn et al.	
	AQ	US-5,226,429	07/1993	Kuzmak	
	AR	US-5,264,130	10/1993	Poncet et al.	
	AS	US-5,332,402	07/1994	Taitelbaum	
	AT	US-5,383,888	01/1995	Kensey et al.	
	AU	US-5,403,326	04/1995	Harrison et al.	
	AV	US-5,411,552	05/1995	Anderson et al.	
	AW	US-5,417,700	05/1995	Egan	
	AX	US-5,423,858	08/1995	Bolanos et al.	
	AY	US-5,423,882	08/1995	Jackman et al.	
	AZ	US-5,450,880	09/1995	O'Connor	
	BA	US-5,478,309	12/1995	Sweezer et al.	
	BB	US-5,478,353	12/1995	Yoon	
	BC	US-5,520,701	05/1996	Lerch	
	BD	US-5,522,873	6/1996	Jackman et al.	
	BE	US-5,536,251	07/1996	Evard et al.	
	BF	US-5,542,948	08/1996	Yoon	
	BG	US-5,554,185	09/1996	Block et al.	
	BH	US-5,571,137	11/1996	Marlow et al.	
	BI	US-5,571,215	11/1996	Sterman et al.	
	BJ	US-5,618,306	04/1997	Roth et al.	
	BK	US-5,634,932	06/1997	Schmidt	
	BL	US-5,640,955	06/1997	Ockuly et al.	
	BM	US-5,713,810	02/1998	Gordon et al.	
✓	BN	US-5,716,387	02/1998	Kolke et al.	
	BO	US-5,718,725	02/1998	Sterman et al.	

Examiner  
Signature

LMB 8-13-07

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO				Complete If Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				Application Number	10/635,776
				Filing Date	August 5, 2003
				First Named Inventor	ST. GOAR, FREDERICK G.
				Art Unit	Unassigned
				Examiner Name	Unassigned
Sheet	2	of	5	Attorney Docket Number	020489-000140US

U.S. PATENT DOCUMENTS*						
Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
UP	BP	US-5,769,812		06/1998	Stevens et al.	
	BQ	US-5,797,927		08/1998	Yoon	
	BR	US-5,797,980		08/1998	Stevens et al.	
	BS	US-5,810,847		9/1998	Laufer et al.	
	BT	US-5,823,956			Roth et al.	
	BU	US-5,824,065		10/1998	Gross	
	BV	US-5,827,237		10/1998	Macovlak et al.	
	BW	US-5,829,447		11/1998	Stevens et al.	
	BX	US-5,833,871		11/1998	Macovlak et al.	
	BY	US-5,836,955		11/1998	Buelna et al.	
	BZ	US-5,840,081		11/1998	Anderson et al.	
	CA	US-5,855,814		01/1999	Stevens et al.	
	CB	US-5,879,307		03/1999	Chlo et al.	
	CC	US-5,885,271		03/1999	Hamilton et al.	
	CD	US-5,928,224		07/1999	Laufer	
	CE	US-5,947,363		09/1999	Bolduc et al.	
	CF	US-5,954,732		09/1999	Hart et al.	
	CG	US-5,980,455		11/1999	Daniel et al.	
	CH	US-5,989,284		11/1999	Laufer	
	CI	US-6,019,722		02/2000	Spence et al.	
	CJ	US-6,117,144		09/2000	Nobles et al.	
	CK	US-6,165,183		12/2000	Kuehn et al.	
	CL	US-6,210,432		04/2001	Solem et al.	
	CM	US-6,269,819		08/2001	Oz et al.	
	CN	US-6,308,133		10/2001	Tu et al.	
	CO	US-6,312,447		11/2001	Grimes	
	CP	US-6,355,030		03/2002	Aldrich et al.	
	CQ	US-2002/0087169		07/2002	Brock et al.	
	CR	US-2002/0087148		07/2002	Brock et al.	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
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	CU	United Kingdom	GB 2151142		07/1985			
	CV	Germany	DE 3504292		07/1986			
	CW	EP	0178562		07/1989			
Examiner Signature	L. M. B.				Date Considered	8-13-07		

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 801.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				Application Number	10/635,776
				Filing Date	August 5, 2003
				First Named Inventor	ST. GOAR, FREDERICK G.
				Art Unit	Unassigned
				Examiner Name	Unassigned
				Attorney Docket Number	020489-000140US
Sheet	3	of	5		

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
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	DI	PCT	WO 99/00059		01/1999			<input type="checkbox"/>
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	DM	PCT	WO 01/28432		04/2001			<input type="checkbox"/>
	DN	PCT	WO 01/26557		04/2001			

Examiner Signature		Date Considered	
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449B/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				Application Number	10/635,776
				Filing Date	August 5, 2003
				First Named Inventor	ST. GOAR, FREDERICK G.
				Art Unit	Unassigned
				Examiner Name	Unassigned
Sheet	4	of	5	Attorney Docket Number	020489-000140US

NON PATENT LITERATURE DOCUMENTS <sup>1</sup>				
Examiner Initials *	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>	
UB	DO	Abe et al., "De Vega's annuloplasty for acquired tricuspid disease: Early and late results in 110 patients" Ann. Thorac. Surg. (1989) 48:670-676.		
	DP	Abe et al., "Updated: De Vega's annuloplasty for acquired tricuspid disease: Early and late results in 110 patients" Ann. Thorac. Surg. (1996) 62:1876-1877.		
	DQ	Alvarez et al., "Repairing the degenerative mitral valve: Ten-to fifteen-year follow-up" J. Thorac. Cardiovasc. Surg. (1996) 112:238-247.		
	DR	Bach et al., "Improvement following correction of secondary mitral regurgitation in end-stage cardiomyopathy with mitral annuloplasty" Am. J. Cardiol. (1996) 78:966-969.		
	DS	Bach et al., "Early improvement in congestive heart failure after correction of secondary mitral regurgitation in end-stage cardiomyopathy" Am. Heart J. (1995) 129:1165-1170.		
	DT	Bailey, "Surgery of the Heart" Chapter 20 (1995) pp. 686-737.		
	DU	Bolling et al., "Surgery for acquired heart disease" (1985) 109:676-683.		
	DV	Dec et al., "Idiopathic dilated cardiomyopathy" N. Engl. J. Med. (1994) 331:1564-1575.		
	DW	Fucci et al., "Improved results with mitral valve repair using new surgical techniques" Eur. J. Cardiothorac. Surg. (1995) 9:621-627 (Medline Record enclosed herewith).		
	DX	Kameda et al., "Annuloplasty for severe mitral regurgitation due to dilated cardiomyopathy" Am. Thorac. Surg. (1996) 61:1829-1832.		
	DY	Khan et al., "Blade atrial septostomy: Experience with the first 50 procedures" Cathet. Cardiovasc. Diagn. (1991) 23: 257-262.		
	DZ	Maisano et al., "The edge-to-edge technique: A simplified method to correct mitral insufficiency" Eur. J. Cardiothorac. Surg. (1998) 13:240-246.		
	EA	McCarthy et al., "Tricuspid valve repair with the Cosgrove-Edwards annuloplasty system" Am. Thorac. Surg. (1997) 64: 267-268.		
	EB	Park et al., "Clinical use of a blade atrial septostomy" Circulation (1978) 58:600-608.		
	EC	Reul, Ross M. and Cohn, Lawrence II, Mitral Valve Reconstruction for Mitral Insufficiency, Progress in Cardiovascular Diseases, No. 8, May/June, 1997, pp. 567-599, Vol. XXXIX.		
ED	Ricchi et al., "Linear segmental annuloplasty for mitral valve repair" Ann. Thorac. Surg. (1997) 63:1805-1806.			

Examiner Signature	<i>Y M B 8-13-07</i>	Date Considered	
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<sup>1</sup> EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>2</sup> Applicant's unique citation designation number (optional). <sup>3</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449B/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	10/635,776
		Filing Date	August 5, 2003
		First Named Inventor	ST. GOAR, FREDERICK G.
		Art Unit	Unassigned
		Examiner Name	Unassigned
Sheet 5 of 5	Attorney Docket Number	(120489-000140US)	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
UB	EE	Tager et al., "Long-term follow-up of Rheumatic patients undergoing left-sided valve replacement with tricuspid annuloplasty - Validity of preoperative echocardiographic criteria in the decision to perform tricuspid annuloplasty" Am.J. Cardiol. (1998) 81:1013-1018.	
	EF	Uchida et al., "Percutaneous cardiomyotomy and valvulotomy with angioscopic guidance" Am. Heart J. (1991) 121:1221-1224.	
	EG	Umana et al., "Bow-tie" mitral valve repair: An adjuvant technique for Ischemic mitral regurgitation" Ann. Thorac. Surg. (1998) 66:1640-1646.	
	EH	Umana et al., "Bow-tie" mitral valve repair successfully addresses subvalvular dysfunction in Ischemic mitral regurgitation," (1997) Surgical Forum pp. 279-280.	

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Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.  
<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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